



Attorney Docket No. 23312-1001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
**PATENT OPERATION**

In re Application of: Ford, Robert M.

Serial No.: 09/330,446

Group Art Unit: 2761

Filed: 06/11/99

Examiner: Not Assigned

For: SYSTEM AND METHOD FOR MANAGING TIER-PRICED COMMODITY  
TRANSACTIONS

New York, NY 10022

Hon. Commissioner of Patents and Trademarks  
BOX MISSING PARTS  
Washington, DC 20231

**LETTER TRANSMITTING STATUTORY BASIC FILING FEE**

Sir:

In response to the Notice to File Missing Parts of Application-Filing Date Granted (copy enclosed), dated July 19, 1999, in the above-identified application, the Commissioner is hereby authorized to charge the statutory basic filing fee and any additional fees required to Deposit Account No. 50-0988. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

\_\_\_\_\_  
Gregory P. Silberman  
Reg. No. 39-836

**MAILING ADDRESS:**

KAYE, SCHOLER, FIERMAN, HAYS AND HANDLER, LLP  
425 Park Avenue  
New York, New York 10022  
(212) 836-7409



Sector \$

**CERTIFICATE OF MAILING/TRANSMISSION**

I hereby certify that, on the date shown below, this correspondence is being:

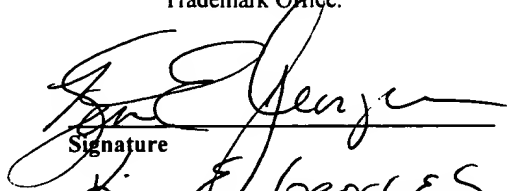
**EXPRESS MAILING**

**37 C.F.R. § 1.10**

- ☒ deposited with the United States Postal Service in an envelope addressed to the Hon. Commissioner of Patents and Trademarks, BOX MISSING PARTS, Washington, D.C. 20231. as "Express Mail Post Office to Addressee" Mailing Label No. EJ339133156US

**FACSIMILE**

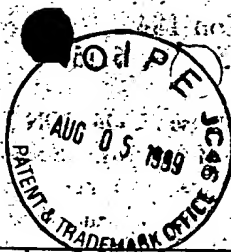
- ☐ transmitted by facsimile to the Patent and Trademark Office.

  
Signature

Kim E. Georges  
(type or print name of person certifying)

Date: August 5, 1999

FILING RECEIPT



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/330,446	06/11/99	2761	\$0.00		8	15	6

GREGORY P SILBERMAN  
KAYE SCHOLER FIERMAN  
HAYS & HANDLER LLP  
425 PARK AVENUE  
NEW YORK NY 10022

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to Fix Missing Parts of Application" ("Missing Parts Notice") in this application, please submit any corrections to this Filing Receipt with your reply to the "Missing Parts Notice." When the PTO processes the reply to the "Missing Parts Notice," the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

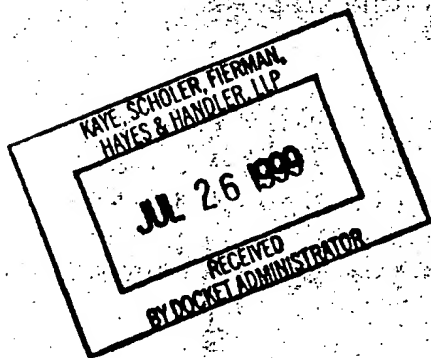
Applicant(s) ROBERT M. FORD, SAINT JOSEPH, MO.

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 07/15/99 \*\* SMALL ENTITY \*\*  
TITLE

SYSTEM AND METHOD FOR MANAGING TIER-PRICED COMMODITIES TRANSACTIONS

Commodity

PRELIMINARY CLASS: 705



Client # 99999-1001 Atty GPS

Call Up Date

Statutory Date

By

DATA ENTRY BY: JONES, ANN

TEAM: 06 DATE: 07/15/99

(See reverse for new important information)



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
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09/330,446 06/11/99 FORD

R

0262/0719

GREGORY P SILBERMAN  
KAYE SCHOLER FIERMAN  
HAYS & HANDLER LLP  
425 PARK AVENUE  
NEW YORK NY 10022

NOT ASSIGNED

DATE MAILED: 8761

07/19/99

**NOTICE TO FILE MISSING PARTS OF APPLICATION**  
**Filing Date Granted**

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☐ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☒ small entity (statement filed) ☐ non-small entity is \$ 445.00.

☒ 1: The statutory basic filing fee is:

- ☒ missing.  
☐ insufficient.

Applicant must submit \$ 380.00 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

☐ 2: The following additional claims fees are due:

\$ \_\_\_\_\_ for \_\_\_\_\_ total claims over 20.

\$ \_\_\_\_\_ for \_\_\_\_\_ independent claims over 3.

\$ \_\_\_\_\_ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☐ 3: The oath or declaration:

- ☐ is missing or unsigned.  
☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4: The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5: The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6: A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7: Your filing receipt was mailed in error because your check was returned without payment.

☐ 8: The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(c)).

☐ 9: OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

C. JONES

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

08/09/1999 SARAYA  
01 FC:201  
02 FC:205  
09330446  
380.00  
645.00  
CH



Docket No. 23312-1001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
PATENT OPERATION

In re Application of:

Robert M. Ford

Group Art Unit: 2761

Serial No. : 09/330/446

Examiner: Not Yet Known

Filed : June 11, 1999

For: : SYSTEM AND METHOD FOR MANAGING TIER-PRICED  
COMMODITY TRANSACTIONS

New York, New York 10022  
August 3, 1999

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231

Sir:

Upon review of the Official Filing Receipt and checking the information presented thereon, we have noticed that the title of the invention should read -- SYSTEM AND METHOD FOR MANAGING TIER-PRICED COMMODITY TRANSACTIONS instead of "SYSTEM AND METHOD FOR MANAGING TIER-PRICED COMMODITIES TRANSACTIONS" (a copy of the official Filing Receipt is enclosed herewith for your information).

It is respectfully requested that this error be corrected and that a Corrected Filing Receipt be issued to the undersigned.

We believe that the error in the official Filing Receipt originated from the Patent Office. Therefore, the Applicant believes that no fee for the Corrected Filing Receipt is required.

The Commissioner is hereby authorized to charge any additional fee in connection with this Communication to Deposit Account No. 50-0988 in the name of Kaye, Scholer, Fierman, Hays & Handler, LLP.



Respectfully submitted,

A handwritten signature in black ink, appearing to read "G. P. Silberman", written over a horizontal line.

Gregory P. Silberman  
Reg. No. 39,836

**MAILING ADDRESS**

Kaye, Scholer, Fierman, Hays & Handler, LLP  
425 Park Avenue  
New York, New York 10022  
(212) 836-7409